



PATENT
Serial No. 09/516,792
Docket No. 10392/46701

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Steven M. H. Wallman et al.
Serial No. : 09/516,792
Filed : 01 March 2000
For : Method and Apparatus for Trading Securities or
Other Instruments on Behalf of Customers
Group Art Unit : Not yet Assigned
Examiner : Not yet Assigned

RECEIVED
JUL 27 2000
TC 2700 MAIL ROOM

RECEIVED
JUL 24 2000

ASSISTANT COMMISSIONER
OF PATENTS
Washington, DC 20231

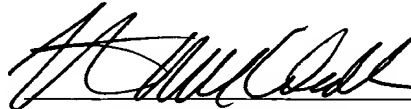
OFFICE OF PETITIONS

STATEMENT OF FACTS BY ORIGINALLY NAMED INVENTOR

SIR:

1. I, Steven M. H. Wallman, was named as the sole inventor in the above-identified United States Patent Application.
2. Ludwig B. Chincarini is a co-inventor of the invention claimed in the above-identified application, but was not so identified therein.
3. On May 19, 2000, I signed the Declaration and Power of Attorney in the above-identified application (after reviewing the application papers), which listed only myself as the inventor.
4. Via information communicated on June 27, 2000 from my attorneys, Michael N. Haynes and Michael A. Dawson, it was determined that Ludwig B. Chincarini should be named as a co-inventor and that the omission of Ludwig B. Chincarini as co-inventor was an error without deceptive intent.
5. I verify that there was no intent to deceive and that the error of not naming Ludwig B. Chincarini as a co-inventor upon filing the application was an unintentional error.

I hereby declare that all statements made herein on my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Steven M. H. Wallman

RECEIVED
JUL 27 2000
TC 2100 MAIL ROOM

RECEIVED

JUL 24 2000

OFFICE OF PETITIONS